

AO 257 (Rev. 6/78)

**DEFENDANT INFORMATION RELATIVE TO A CRIMINAL ACTION - IN U.S. DISTRICT COURT**
 BY: ☐ COMPLAINT ☒ INFORMATION ☐ INDICTMENT  
☐ SUPERSEDING
**OFFENSE CHARGED**

VIOLATION: 18 U.S.C. § 1343 - Wire Fraud

- ☐
- Petty
- 
- ☐
- Minor
- 
- ☐
- Misdemeanor
- 
- ☒
- Felony

**PENALTY:**
 Not More than 20 years imprisonment  
 Not More than 3 years supervised release  
 \$250,000 or twice the gross gain or loss  
 \$100 Special Assessment

Name of District Court, and/or Judge/Magistrate Location

NORTHERN DISTRICT OF CALIFORNIA

**DEFENDANT - U.S.**

LAWRENCE R. GOLDFARB

DISTRICT COURT NUMBER

CR 11 0099

WHA

**DEFENDANT****IS NOT IN CUSTODY**

Has not been arrested, pending outcome this proceeding.

- 1)
- ☐
- If not detained give date any prior summons was served on above charges
- 
- 2)
- ☐
- Is a Fugitive
- 
- 3)
- ☐
- Is on Bail or Release from (show District)

E-filing

**IS IN CUSTODY**

- 4)
- ☐
- On this charge
- 
- 5)
- ☐
- On another conviction }
- ☐
- Federal
- ☐
- State
- 
- 6)
- ☐
- Awaiting trial on other charges
- 
- If answer to (6) is "Yes", show name of institution

 Has detainer been filed? ☐ Yes ☐ No

If "Yes" give date filed

**DATE OF ARREST**

Month/Day/Year

Or... if Arresting Agency &amp; Warrant were not

**DATE TRANSFERRED TO U.S. CUSTODY**

Month/Day/Year

☐ This report amends AO 257 previously submitted**PROCEEDING**

Name of Complainant Agency, or Person (&amp; Title, if any)

Federal Bureau of Investigation

☐ person is awaiting trial in another Federal or State Court, give name of court

☐ this person/proceeding is transferred from another district per (circle one) FRCrp 20, 21, or 40. Show District

☐ this is a reprosecution of charges previously dismissed which were dismissed on motion of:

SHOW DOCKET NO.

☐ U.S. ATTORNEY ☐ DEFENSE

☐ this prosecution relates to a pending case involving this same defendant

MAGISTRATE CASE NO.

☐ prior proceedings or appearance(s) before U.S. Magistrate regarding this defendant were recorded under

Name and Office of Person

Furnishing Information on this form MELINDA HAAG

☒ U.S. Attorney ☐ Other U.S. Agency

Name of Assistant U.S. Attorney (if assigned)

**ADDITIONAL INFORMATION OR COMMENTS****PROCESS:**
☐ SUMMONS ☒ NO PROCESS\* ☐ WARRANT

Bail Amount: \_\_\_\_\_

If Summons, complete following:

☐ Arraignment ☐ Initial Appearance

Defendant Address: \_\_\_\_\_

\* Where defendant previously apprehended on complaint, no new summons or warrant needed, since Magistrate has scheduled arraignment

Date/Time: \_\_\_\_\_ Before Judge: \_\_\_\_\_

Comments: \_\_\_\_\_

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 Not More than 3 years supervised release  
 \$250,000 or twice the gross gain or loss  
 \$100 Special Assessment

Name of District Court, and/or Judge/Magistrate Location

NORTHERN DISTRICT OF CALIFORNIA

**DEFENDANT - U.S.**

BAYSTAR CAPITAL MANAGEMENT, LLC

DISTRICT COURT NUMBER

CR 11 0099

WHA

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- 1)
- ☐
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- 2)
- ☐
- Is a Fugitive
- 
- 3)
- ☐
- Is on Bail or Release from (show District)

**IS IN CUSTODY**

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- ☐
- On this charge
- 
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Furnishing Information on this form MELINDA HAAG

☒ U.S. Attorney ☐ Other U.S. Agency

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\* Where defendant previously apprehended on complaint, no new summons or warrant needed, since Magistrate has scheduled arraignment

Date/Time: \_\_\_\_\_ Before Judge: \_\_\_\_\_

Comments:

MELINDA HAAG (CABN 132612)  
United States Attorney

FILED  
2011 MAR -1 P 12:15  
RICHARD W. WIEKING  
CLERK, U.S. DISTRICT COURT  
NORTHERN DISTRICT OF CALIFORNIA

UNITED STATES DISTRICT COURT  
NORTHERN DISTRICT OF CALIFORNIA  
SAN FRANCISCO DIVISION

WHA

CR 11 0099

E-filing

UNITED STATES OF AMERICA,  
Plaintiff,  
v.  
LAWRENCE R. GOLDFARB, and  
BAYSTAR CAPITAL MANAGEMENT,  
LLC,  
Defendants

No. ~

VIOLATION: 18 U.S.C. § 1343 – Wire  
Fraud

SAN FRANCISCO VENUE

INFORMATION

The United States Attorney charges:

On or about and between January 2005 and December 2010, in the Northern District of  
California, the defendants,

LAWRENCE GOLDFARB and,  
BAYSTAR CAPITAL MANAGEMENT, LLC,

having devised and intending to devise a scheme and artifice (A) to defraud as to a material  
matter, and (B) to obtain money by means of materially false and fraudulent pretenses,  
representations, and promises, for the purpose of executing such scheme and artifice and  
attempting so to do, did knowingly cause to be transmitted in interstate commerce by wire


INFORMATION

1 communication certain wire transfers and writings, namely, communications to investors in  
2 which the defendants failed to disclose the extent of the distributions from Island Fund, an  
3 investment vehicle defendants managed on behalf of investors, and that the defendants had  
4 reinvested those distributions into business entities some of which were owned and controlled by  
5 the defendants;

6 All in violation of Title 18, United States Code, Section 1343.

7  
8 DATED: 3/1/11

MELINDA HAAG  
United States Attorney

9  
10   
11 MIRANDA KANE  
12 Chief, Criminal Division

13 (Approved as to form:   
14 JONATHAN SCHMIDT  
15 Assistant United States Attorney  
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